



PATENT

Attorney Docket No. 210818

2131 #2 SP  
6-12-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

William H. Dixon, et al.

Group Art Unit: Unknown

Application No.: 10/014,747

Examiner: Unknown

Filed: October 26, 2001

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Technology Center 2100

For: METHOD FOR PROVIDING USER  
AUTHENTICATION/AUTHORIZATION  
AND DISTRIBUTED FIREWALL  
UTILIZING SAME

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Pursuant to 37 CFR 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- within any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d); (b) within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 of an international application; (c) before the mailing date

of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

- after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:

the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below).

*or*

the fee of \$180 set forth in 37 CFR 1.17(p) (see "Fees" below).

- after** the mailing date of a final action under 37 CFR 1.113 or a Notice of Allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under 37 CFR 1.97(e) (see "Statement under 37 CFR 1.97(e)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

- after** the mailing date of a Notice of Allowance under 37 CFR 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under 37 CFR 1.704(d) (see "Statement under 37 CFR 1.704(d)" below), and the fee of \$180 as set forth in 37 CFR 1.17(p) (see "Fees" below).

NOTE: This is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with 37 CFR 1.97 and 1.98 is being filed.

### Copies of the References

- Copies of the references listed on the enclosed Form 1449 are enclosed herewith. Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3). An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of the relevance pursuant to 37 CFR 1.98(a)(3).

A copy of the foreign search report is enclosed herewith.

The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 CFR 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 USC 120 in which copies of the references were previously furnished are set out below:

In re Appln. of: William H. Dixon, et al.  
 Application No.: 10/014,747

U.S. APPLICATIONS		Status ( <i>check one</i> )		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1.				
2.				
3.				

**Statement under 37 CFR 1.97(e)**

- The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

**Statement under 37 CFR 1.704(d)**

- The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

**Fees**

- No fee is owed by the applicant(s).  
 The **IDS Fee of \$180** under 37 CFR 1.17(p) is enclosed herewith.

**Method of Payment of Fees**

- Attached is a check in the amount of \$ \_\_\_\_\_ .  
 Charge Deposit Account No. 12-1216 in the amount of \$ \_\_\_\_\_ . (A duplicate copy of this communication is enclosed for that purpose.)

**Authorization to Charge Additional Fees**

- If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.)

In re Appln. of: William H. Dixon, et al.  
Application No.: 10/014,747

**Instructions as to Overpayment**

- Credit Account No. 12-1216.  
 Refund



Jeffrey J. Makeever, Reg. No. 37390  
LEYDIG, VOIT & MAYER, LTD.  
6815 Weaver Road, Suite 300  
Rockford, Illinois 61114-8018  
(815) 963-7661 (telephone)  
(815) 963-7664 (facsimile)

Date: June 2, 2003

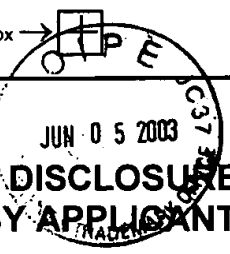
CERTIFICATE OF MAILING

I hereby certify that this INFORMATION DISCLOSURE STATEMENT (along with any documents referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: 6/2/03



Please type a plus sign (+) inside this box →



Substitute for form 1449A/B/PTO

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

Complete if Known	
Application Number	10/014,747
Filing Date	October 26, 2001
First Named Inventor	William H. Dixon, et al.
Group Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	210818

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**OTHER - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Doc. No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number (s), publisher, city and/or country where published.	Translation	
			Yes	No**
		C. Rigney and S. Willens (Livingston), A. Rubens (Merit), and W. Simpson (Daydreamer), <i>Remote Authentication Dial In User Service (RADIUS)</i> , The Internet Society (June 2000), 68 pages, at <a href="http://ietf.org/rfc/rfc2865.txt?number=2865">http://ietf.org/rfc/rfc2865.txt?number=2865</a> , (last visited May 23, 2001).	/	
		C. Rigney (Livingston), <i>RADIUS Accounting</i> , The Internet Society (June 2000), 25 pages, at <a href="http://ietf.org/rfc/rfc2866.txt?number=2866">http://ietf.org/rfc/rfc2866.txt?number=2866</a> (last visited May 23, 2001).		
		D. McDonald, C. Metz, and B. Phan, <i>PF_KEY Key Management API, Version 2</i> , The Internet Society (July 1998), 61 pages, at <a href="ftp://ftp.isi.edu/in-notes/rfc2367.txt">ftp://ftp.isi.edu/in-notes/rfc2367.txt</a> (last visited May 23, 2001).	/	
		Pat R. Calhoun (Sun Microsystems, Inc.), Allan C. Rubens (Tut Systems, Inc.), Haseeb Akhtar (Nortel Networks), and Erik Guttman (Sun Microsystems, Inc.), <i>DIAMETER Base Protocol</i> , The Internet Society (1999), 42 pages.	/	
		Pat R. Calhoun (Sun Microsystems, Inc.), <i>Comparison of DIAMETER Against AAA Network Access Requirements</i> , The Internet Society (2000), 30 pages.	/	
		Pat R. Calhoun (Sun Microsystems, Inc.), Glen Zorn (Cisco Systems, Inc.), Ping Pan, Bell Labs, and Haseeb Akhtar (Nortel Networks), <i>DIAMETER Framework Document</i> , The Internet Society (2000), 32 pages.	/	
		Pat R. Calhoun (Sun Microsystems, Inc.) and William Bulley (Merit Network, Inc.), <i>DIAMETER Secure Proxying</i> , The Internet Society (1999), 25 pages.	/	
		Pat R. Calhoun (Sun Microsystems, Inc.), William Bulley (Merit Network, Inc.), and Stephen Farrell (Baltimore Technologies), <i>DIAMETER Strong Security Extension</i> , The Internet Society (1999), 19 pages.	/	
		<i>UDDI Technical White Paper</i> , Universal Description, Discovery and Integration (uddi.org), Ariba, Inc. International Business Machines Corporation (September 6, 2000), 13 pages.	/	
		<i>Host-Resident Firewalls: Defending Windows NT/2000 Servers and Desktops from Network Attacks, A Security White Paper</i> , Network - 1 Security Solutions, Inc. (2000), 12 pages.	/	
		Wei Li (weili@mappi.helsinki.fi), <i>Distributed Firewall</i> , December 5, 2000, 13 pages.		
		Sotiris Ioannidis (University of Pennsylvania), Angelos D. Keromytis (University of Pennsylvania), Steve M. Bellovin (AT&T Labs - Research), and Jonathan M. Smith (University of Pennsylvania), <i>Implementing a Distributed Firewall</i> , DARPA (2000), 10 pages.		
		<i>Distributed Firewalls.com</i> , Network - 1 Security Solutions, Inc., 3 pages, at <a href="http://207.254.108.217/firewall.html">http://207.254.108.217/firewall.html</a> (last visited May 31, 2001).		
		Steven M. Bellovin, <i>Distributed Firewalls</i> , November 1999, 11 pages.		
		<i>IP Security for Microsoft Windows 2000 Server White Paper</i> , Microsoft Windows 2000 Server Operating System, Microsoft Corporation (1999), 16 pages.		

Examiner Signature	Date Considered
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\* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).  
 + An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).